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GENERAL 0900

(New 1/63)

Research of general public interest and benefit is a concern of state government and should be furthered, provided that such research does not unduly interfere with prescribed state programs and functions, and is in accord with the intent and desire of the State Legislature and state law. The following provisions relating to the acceptance and administration of public and private organization grants for research are not intended to interfere with or discourage the furtherance of desirable research. Neither are they intended to prohibit the incidental use of state equipment and facilities or otherwise discourage the personal study and development of state-employed scholars and professional personnel. These provisions are intended to establish uniform general principles concerning the administration of grant funds, reasonable use of state employees, and reasonable recovery of the state's expense in the performance of grant-funded projects.

Many private or public organizations grant funds to finance research and other projects which involve state employees, facilities, and operating costs. These projects are generally, but not necessarily always, of public interest and concern.

SAM—GRANTS

RESEARCH GRANTS ADMINISTERED BY STATE AGENCIES OR AUXILIARY ORGANIZATIONS

(New 1/63)

0910

The Legislature has authorized and appropriated funds to some departments specifically to conduct research in connection with the department's authorized functions and programs. These departments administer grant funds through normal state financial procedures.

Many grants are made that involve state employees, facilities, and operating costs of state agencies and institutions that the Legislature has not specifically authorized for the performance of research and for which no appropriation of state funds have been made for this purpose. Often such grants are accepted and administered by "auxiliary" organizations and corporations formed by state employees of the agency or institution involved. The research is performed at the state institution or agency using state facilities and often by or under the direction of state employees. It is probable that many of these grants are awarded in recognition of the state facility and state employment of the personnel involved.

0911

MANDATED STATE CLEARINGHOUSE'S ROLE

(Revised 03/03)

- 1. The State Clearinghouse (SCH) reviews federally funded grants mandated by Executive Order (E.O.) 12372, Appendix I of the Catalog of Federal Domestic Assistance. Any state, independent, or local agency applying or planning to apply for federal funds should contact the SCH and verify that their Catalog of Federal Domestic Assistance Number (CFDA Number) is one of the grants subjected to state review. The SCH requires that a federal Standard Form 424 (usually the front application page) be submitted at least 30 to 60 days prior to the final deadline set by the federal agency. The SCH does not set nor know the final deadlines for grants and will accept a federal Standard Form 424 at any time. The applicant is responsible for submitting their grant application in sufficient time to meet all deadlines. State agencies and departments who apply for federal funds are responsible for including a provision for recovery of indirect costs as described in Government Code sections 13332.01 and 13332.02 and reiterated in SAM section 8755.1
- 2. In addition, the SCH **does not** have information on federally funded grants. Information can be obtained by calling the federal agency funding the grant or by looking in the Catalog of Federal Domestic Assistance.
- 3. The SCH will send a letter to the applicant at the end of the review period. If the SCH does not receive comments on a grant, the review will close 30 days after submittal. If comments are received, then the review period will close 60 days after submittal. All grant applications are sent out for review in the State Clearinghouse Newsletter. Federal agencies who require this letter will contact the SCH.
- 4. The SCH does not deal with form CA-189, only the federal Standard Form 424 and those grants mandated for review by E.O. 12372.
- 5. General Review. Once a federal Standard Form 424 (see Appendix C) has been submitted to the SCH and assigned a number, it is put out for review in the State Clearinghouse Newsletter. This newsletter is sent to all state agencies, area clearinghouses, local libraries, university libraries, and private citizens (at their request). The SCH requires that a federal Standard Form 424 (usually the front application page) be submitted at least 30 to 60 days prior to the final deadline set by the federal agency. If the SCH does not receive comments on a grant, the review will close 30 days after submittal. If comments are received, then the review period will close 60 days after submittal. All comments will be forwarded to the applicant.
- 6. This review process is standard for all grants that are listed under E.O. 12372. A grant that does not fall under the E.O. 12372 should not be submitted to the SCH. Not all federally funded grants fall under E.O. 12372 for state review.
- 7. This is the only role of the SCH in relation to federally funded grants. The SCH does not play a role in the review, awarding, or funding of state grants.

Rev. 381 0911 MARCH 2003

FEDERAL GRANTS 0912

(Revised 06/12)

Review by Department of Finance (DOF)

Pursuant to the provisions of Government Code section 13326, advance approval for application to the federal government is delegated to agencies/departments, except requests for federal funds for the following:

- 1. "New" activities not included in the budget,
- 2. Activities which have been previously denied by the Administration or the Legislature, and
- 3. Sensitive policy issues. The determination of a "sensitive policy" issue is at the discretion of the agency/department making the request for federal funds.

Budgeted Grant Requests

Requests for federal funds which can be anticipated should be included and justified as part of the departmental budget request. For budgeted grant requests, the applicant must file federal Standard Form 424 with the SCH prior to the publication of the Governor's Budget document for the fiscal year for which the grant is requested. The remittance advice for receipt of a budgeted grant request should cite the SCH identification number.

Unbudgeted Grant Requests

Requests for federal grants that were not anticipated ("unbudgeted") must be forwarded to DOF if they meet any of the criteria specified above (Items 1, 2 and 3 - Review By DOF). For each grant request meeting this criteria, departments must submit a "Federal Grant Request" form DF-24. See Appendix D. Agency approval must be obtained prior to submission to DOF, except that departments which do not report to an agency secretary are to submit their requests directly to DOF. Forms must be submitted to DOF at least 10 working days prior to the federal deadline for application. Constitutional Officers, the University of California, and the California State University are not required to obtain DOF approval. Departments are also responsible for determining if any request for unanticipated federal funds meets the criteria for legislative notification set forth in Control Section 28.00 of the annual Budget Act. If requests meet the notification criteria, departments are also responsible for submitting the appropriate Section 28.00 materials to DOF along with the "Federal Grant Request" form DF-24.

After approval is received by DOF for an unbudgeted grant request, the applicant must also file federal Standard Form 424 with the SCH.

Employer/Taxpayer Identification Number for Grant Requests

The federal Standard Form 424 must include the Employer/Taxpayer Identification Number that was assigned to the department by the Internal Revenue Service (See also SAM section 8422.19).

State, Metropolitan, and Regional Clearinghouses

For a list of Areawide, Metropolitan, and Regional Clearinghouses, see Appendix B.

The address and telephone number of the SCH is:

California State Clearinghouse Office of the Governor Office of Planning and Research 1400 Tenth Street Sacramento, California 95814

Telephone: (916) 445-0613

California State Clearinghouse (SCH) Flowchart for Federal Assistance Review

Applicant receives grant application package from federal agency including STANDARD FORM 424

Applicant submits one copy of SF 424 to the State Clearinghouse and one copy to the Areawide Clearinghouse

State Clearinghouse begins 60-day review, assigns SCH number, enters data into database, & acknowledges receipt to applicant

State Clearinghouse notifies Areawide Clearinghouses and state and local agencies via computer generated list compiled & circulated weekly of all applications received

If no Notice of Intent to Comment is received from Areawide Clearinghouse and/ or state agencies within 30 days, SCH will close the review period

Areawide Clearinghouse and/or state agencies shall submit Notice of Intent to Comment to SCH within 30 days, if they choose to comment

State Clearinghouse transmits compliance letter to applicant indicating end of review period Areawide Clearinghouse and/or state agencies contact applicant directly for full grant proposal

Areawide Clearinghouse and/or state agencies forward all comments to SCH at least 5 days prior to end of 60-day review

State Clearinghouse coordinates comments and sends compliance letter, with comments, to applicant indicating end of review period

Applicant shall submit full proposal, SCH number, copy of compliance letter, and any comments to federal agency

California State and Areawide Clearinghouses

California State Clearinghouse

1400 10th Street, Room 121 Sacramento, CA 95814 (916) 323-9565

Association of Bay Area Governments (ABAG)

P.O. Box 2050 Oakland, CA 94604 (510) 464-7900

Region: Alameda County; Contra Costa County; Marin County; Napa County; San Francisco County; San Mateo County; Santa Clara County; Solano County; Sonoma County

Association of Monterey Bay Area Governments

(AMBAG) P.O. Box 190 Monterey, CA 93942 (408) 373-6116

Region: Monterey County; Santa Cruz County

Central Sierra Planning Council and Economic Development District

83 South Stewart Street Sonora, CA 95370 (209) 532-8768

Region: Alpine County; Amador County; Calaveras County; Tuolumne County

Council of Fresno County Governments (COFCG)

2100 Tulare Street, Suite 619 Fresno, CA 93721 (209) 233-4148

Region: Fresno County

Humboldt County Association of Governments (HCAG)

235 4th Street, Suite F Eureka, CA 95501 (707) 444-8208

Region: Humboldt County

Kern County Council of Governments (Kern COG)

Kress Building 1401 19th Street, Suite 200 Bakersfield, CA 93301 (805) 861-2191

Region: Kern County

Kings County Regional Planning Agency (KCRPA)

Government Center 1400 West Lacey Boulevard Hanford, CA 93230 (209) 582-3211, Ext. 2670 Region: Kings County

Merced County Association of Governments (MCAG)

1770 M Street Merced, CA 95348 (209) 723-3153

Region: Merced County

Sacramento Area Council of Governments (SACOG)

106 K Street, Suite 200 Sacramento, CA 95814 (916) 441-5930

Region: Placer County (part); Sacramento County; Sutter

County; Yolo County; Yuba County

San Diego Association of Governments (SANDAG)

First Interstate Plaza 401 B Street, Suite 800 San Diego, CA 92101 (619) 236-5300

Region: San Diego County

San Joaquin Council of Governments (SJCOG)

1860 E. Hazelton Ave. Stockton, CA 95205 (209) 468-3913

Region: San Joaquin County

Santa Barbara County-Cities Area Planning Council

123 East Anapamu Santa Barbara, CA 93101 (805) 568-2000

Region: Santa Barbara County

Sierra Planning Organization and Economic Development

District

1230 High Street, Suite 224 Auburn, CA 95603 (916) 823-4703

Region: El Dorado County; Nevada County; Placer County

(part); Sierra County (part)

Southern California Association of Governments (SCAG)

818 West 7th Street, 12th Floor Los Angeles, CA 90017 (213) 236-1800

Region: Imperial County; Los Angeles County; Orange County; San Bernardino County; Ventura County

Stanislaus Area Association of Governments (SAAG)

1315 I Street Modesto, CA 95354 (209) 525-7830

Region: Stanislaus County

Tulare County Association of Governments (TCAG)

County Courthouse, Rm. 111 Visalia, CA 93291

(209) 733-6303

Region: Tulare County

APPLICATIO	N EOD				0	MB Approval No. 0348-0043	
FEDERAL AS		E	2. DATE SUBMITTED		Applicant Identifier		
TYPE OF SUBMISSIO Application Construction	N: <i>Preapplic</i> ☐ Cons		3. DATE RECEIVED BY	STATE	State Application Identifier		
☐ Non-Constructio		Construction	4. DATE RECEIVED BY	FEDERAL AGENCY	Federal Identifier		
5. APPLICANT INFORMA		Construction			<u> </u>		
Legal Name:			Organizational Unit:				
Address (give city, county, state, and zip code):				Name and telephone number of the person to be contacted on matters involving this application (give area code)			
S. EMPLOYER IDENTIFICATION NUMBER (EIN): B. TYPE OF APPLICATION: New Continuation Revision If Revision, enter appropriate letter(s) in box(cs): A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify):			7. TYPE OF APPLICANT: (enter appropriate letter in box) A. State H. Independent School Dist. B. County I. State Controlled Institution of Higher Learning C. Municipal J. Private University D. Township K. Indian Tribe E. Interstate L. Individual F. Intermunicipal M. Profit Organization G. Special District N. Other (Specify): 9. NAME OF FEDERAL AGENCY:				
10. CATALOG OF FEDER ASSISTANCE NUMBE TITLE: 12. AREAS AFFECTED BY	:R: ! PROJECT (cities			11. DESCRIPTIVE TO	TLE OF APPLICANT'S PROJECT:		
13. PAOPOSED PROJECT Start Date	Ending Date		ONAL DISTRICTS OF:	· · · · · · · · · · · · · · · · · · ·	i. a		
Start Cate	chung cate	a. Applicant			b. Project		
15. ESTIMATED FUNDING	!		15. IS APPLICATE	ON SUBJECT TO REVIE	W BY STATE EXECUTIVE ORDER 12:	72 PROCESS7	
a. Federal	*	.0		a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:			
b. Applicant	\$.0) 0	DATE			
c. State	\$.0	b NO. [PROGRAM IS NO	OT COVERED BY E.O. 12372		
d. Local	\$.0	DO [OR PROGRAM H	AS NOT BEEN SELECTED BY ST	ATE FOR REVIEW	
e. Other	S	.0	00				
f. Program Income	\$.0	17. IS THE APPLI	CANT DELINQUENT O	N ANY FEOERAL DEBT?	•	
g. TOTAL	\$.0	Yes	if "Yes," attach an e	eplanation.	☐ No	
					TRUE AND CORRECT, THE DOCUME ATTACHED ASSURANCES IF THE A		
a. Typed Name of Author				b. Title	-	c. Telephone number	
d. Signature of Authoriz	zed Representati	/a				e. Date Signed	
Previous Editions Not Us	able				Star Pres	ndard Form 424 (REV 4-88) cribed by OMB Circular A-102	

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STATE OF CALIFORNIA DEPARTMENT OF FINANCE DF-24 (4/97)

FEDERAL GRANT REQUEST

			Date:	
I.	Department	II. Program		_
III.	Grant Title	_ IV. Application Amoun	nt	_
V.	Brief Description: (Please attach a copy of	he federal register.)		
				_
				_
V	I. Budget Impact:		Yes	No
	1. Is this a new activity not included in t	he budget?		
	2. Has this activity ever been denied by or the Legislature?	he Administration		
	3. Is this a sensitive policy issue?			
V	II. If the answer to any of the above is yes, p	please explain below and send t	o DOF for approval.	
VIII.	Approvals:			
	Department Director Approval		Agency Secretary Approval	
		epartment of Finance Approva	 1	